

**A. Justification.**

**1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection.**

This information, in the form of reports for contracts, grants and other agreements, is required to monitor contract compliance in support of NASA's mission and in response to procurement requirements. The requirement for this information is set forth in Section 305(b) of the National Aeronautics and Space Act of 1958, and subpart 1827 of the NASA Federal Acquisition Regulation Supplement.

Under provisions of these regulations, NASA is required to collect, and NASA contractors/recipients performing research and development are required to actively search for, identify, and report promptly all new technologies (i.e., "inventions, discoveries, improvements and innovations") resulting from work performed under such contracts and agreements. The Disclosure of Invention and New Technology Report, Form 1679, is used for this purpose.

**2. Indicate how, by whom, how frequently, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

One of NASA's strategic goals is to share leading-edge technology with the U.S. industrial community. This includes the commercialization of technology developed in past programs, such as Apollo, and technologies currently being developed for future programs including the Next Generation Launch Vehicles. Crucial to the success of this goal is the New Technology Reporting process, which has resulted in many inventions, discoveries, improvements and innovations to the private sector for boosting competitiveness, creating jobs and strengthening the economic base. Since passage of the National Aeronautics and Space Act of 1958, NASA has been an important and significant source of much of the nation's new technology. NASA provides the widest practicable and appropriate dissemination, expeditious development, early utilization, and continued availability for public use.

Contractors are required to disclose each New Technology reportable item to the Contracting/Grant Officer within two months after the invention is disclosed. Interim reports are required every 12 months listing reportable items during the period of performance. A final report listing all reportable items is due within 3 months of the completion of the contracted effort.

**3. Describe whether, and to what extent the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology. Also describe any consideration of using information technology to reduce burden.**

NASA has developed software (eNTRe) that facilitates secure electronic delivery of Disclosure of Invention and New Technology Reports including attachments and New Technology Summary Reports from its contractors. eNTRe supports the collection and review process within the contractor's domain, in addition to supporting direct submission of the information to NASA. eNTRe employs the security features of secure socket layer. Since eNTRe's deployment in FY 2001, the number of user accounts has increased from 170 to 4,694 in FY 2007. In this fiscal year to date, approximately 100 % of New Technology Reports (1283) were submitted through eNTRe.

As an additional feature, eNTRe provides email reminder notifications to assist companies with scheduled reporting requirements.

**4. Describe efforts to identify duplication.**

NASA procurement procedures are continually reviewed to determine duplication of effort and other inefficiencies. Each procurement is a stand-alone action that is based on unique project requirements and cannot be used to collect information for other requirements. There is no other known report in existence that collects this information.

**5. If the collection of information impacts small businesses or other small entities (item 15 of the Paperwork Reduction Act Submission form), describe any methods used to minimize burden.**

Burden is the minimum consistent with prudent business practices. In addition, a Web-based form NF 1679 (Disclosure of Invention and New Technology) was implemented on the eNTRe Web site. This Web form enables both small and large businesses alike to electronically report their New Technologies to NASA.

**6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

If any restrictions were placed on the collection of information, NASA would not be able to collect New Technology information in a timely manner (or not at all), and in a very competitive world environment, U.S. companies may lose their competitive/commercial edge as a result.

**7. Explain any special circumstances that would cause an information collection to be conducted in certain manners (as listed).**

None.

**8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB.**

September 4, 2007; page 50701; subsequently to the publishing of the agency Federal Register Notice an adjustment was made to percentage of respondents submitting Form 1679

electronically. The adjustment was that approximately 100% of respondents submitted Form 1769 electronically. This resulted in a decrease of burden hours to from 1075 to 962.

**9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

None.

**10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

Information is not made publicly available except as might be required by statute.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

Not applicable.

**12. Provide estimates of the hour burden of the collection of information.**

There were 1283 Disclosure of Invention and New Technology Reports submitted in FY-07, approximately 100 % of which are collected electronically. Reports collected electronically are estimated to take 0.75 hours/report to produce and send and total approximately 962 hours.

**13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information.**

The estimated annual contractor cost is calculated by multiplying the estimated number of hours (962) to produce the reports, by an estimated cost rate of \$40 per report, totaling \$38,480. It should be noted that contractors are reimbursed by the Government for the preparation of reports produced under cost-type contracts. Therefore the cost to contractors for preparing Disclosure of Invention and New Technology Reports is \$0.0.

**14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses, and any other expense that would not have been incurred without this collection of information.**

The estimated annual cost to NASA for the collection and review of Disclosure of Invention and New Technology Reports for contracts/agreements is \$51,320. This estimate is calculated by determining the average salary cost of the combined technical and administrative personnel (\$40 per report) and then multiplying that by the total number of reports to be reviewed (1283).

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1.**

The number of Disclosure of Invention and New Technology Reports collected (on an annual basis) were fewer than new technologies reported in the previous period. In addition, the number of New Technology prepared electronically increased significantly.

**16. For collections of information whose results will be published, outline plans for tabulation and publication.**

Not applicable.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

Not applicable.

**18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-I.**

There are no exceptions to the certification statement identified in Item 19 of Form 83-i. This online application is compliant with 5 CFR 1320.9 and all information required by 5 CFR 1320.8(b)(3) has been identified and explained in previous items in this supporting statement.

## **B. Collections of Information Employing Statistical Methods.**

### **Statistical Methods**

The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the Form OMB 83-I is checked, "Yes," the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:

**1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection methods to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.**

Approximately 1283 Disclosure of Invention and New Technology Reports, Form 1679, were submitted in FY07. The respondent universe was therefore 1283 small and large businesses. The response rate in the previous collection was 1605.

**2. Describe the procedures for the collection of information including:**

- \* Statistical methodology for stratification and sample selection,
- \* Estimation procedure,
- \* Degree of accuracy needed for the purpose described in the justification,
- \* Unusual problems requiring specialized sampling procedures, and
- \* Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

No statistical methodology is used for the number of respondents. The respondent universe was based on the total number of responses received. A Web-based form NF 1679 (Disclosure of Invention and New Technology) was implemented using the eNTRe Web site. The Disclosure of Invention and New Technology Report Web form enables both small and large businesses alike to electronically report their New Technologies to NASA.

**3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.**

A Web-based form NF 1679 (Disclosure of Invention and New Technology) was implemented using the eNTRe Web site. The Web-based form reduced the burden hours expended to fill out the form from 1 hour to 0.75 hour.

**4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of test may be submitted for approval separately or in combination with the main collection of information.**

No tests of procedures or methods were taken. Respondents are only asked for the minimal amount of information needed to report new technology.

**5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.**

Statistical aspects do not apply for the manner in which this application is being used. Submissions of Form 1679 by all eligible respondents are considered. The information is collected and analyzed by Michael Battaglia, 202-358-4658.